

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Michael F. Malone, Frederick J. Murphy

Serial No.:

10/674,910

Filed:

September 29, 2003

Group:

To Be Assigned

Examiner:

To Be Assigned

For:

FORENSIC COMMUNICATION APPARATUS AND METHOD

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Dear Sir:

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:
7/15/04
(Date of Deposit)
Gegory M. Wowisen
(Name of Person Mailing Document)
In Li
(Signature)
7/15/04
(Date of Signature)

PETITION TO MAKE SPECIAL UNDER 37 CFR 1.102

Applicants, by their attorney of record, hereby petition the Commissioner to make the abovereferenced patent application SPECIAL under C.R.F §1.102. Applicants believe that their invention is of peculiar importance to of the public and the government namely Terrorism.

Enclosed are the following:

Statement signed by Mr. Michael Malone explaining how the invention contributes to Countering Terrorism;

Information Disclosure Statement and SB-08; and

Petition Fee as set forth by under 37 C.F.R. 1.17(i) in the amount of \$130.00.

PETITION TO MAKE SPECIAL S/N 10/674,910 Atty. Dkt. No. MPOR-26,491

07/20/2004 EABUBAK1 00000055 10674910

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In view of the foregoing it is respectfully requested that this Petition be granted

The Commissioner is hereby authorized to charge Deposit Account No. 20-0780/MPOR-26,491 any additional fees associated with this Petition or credit any overpayment.

Respectfully submitted,

HOWASON & ARNOTT, L.L.P.

Gregory M. Howison Registration No. 30,646

GMH/yoc P.O. Box 741715

Dallas, Texas 75374-1715

Tel: 972-479-0462 Fax: 972-479-0464 July 14, 2004



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Dear Sir:

STATEMENT OF MICHAEL MALONE EXPLAINING WHY THIS PATENT APPLICATION CONTRIBUTES TO COUNTERING TERRORISM

Applicants present inventive concept is directed to an apparatus is disclosed for recording image or other data in real time. The apparatus includes a capture device for capturing the image or other information. Once captured, a local verification device is operable to indelibly mark the captured image or other information with the date, time, location and information identifying the creator of the data. A transmitter is provided for transmitting the locally verified captured image or other information in real time to a secure storage facility. The capture device is operable, after the locally verified captured image or other information is transmitted to the

Statement of Michael Malone Serial No.: 10/674,910

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secure storage facility, to receive and verify acknowledgment of the receipt of the transmitted

locally verified captured image or other information to the storage facility.

One of the central embodiments of the submitted FORENSIC COMMUNICATION

APPARATUS AND METHOD patent Application; for which we are now requesting that

advanced out of turn for examination be provided, describes an apparatus, methods and means

for capturing, securing, encrypting, transmitting digital images(s), video clip(s), text, sound, and

other digitized data to a secure remote digital repository for secure, tamper resistant, non-

repudiation storage and authorized personnel only retrieval.

With the advent of digital media, it has become increasingly easy to copy, counterfeit,

falsify and misuse digital information of all kinds. Digital media can be altered in ways that defy

detection and time and date stamps can be easily changed with freely available software tools.

Furthermore, this invention provides for the secure non-repudiation of the source and

exact time and location of the captured digital images by permanently embedding non-

repudiation Digital Certificates steganographically within the captured images. This inventive

embodiment is clearly useful for evidentiary and other purposes.

Within the new world of security sensitivity lies the potential for inadvertent or deliberate

dissemination of captured images that pose a threat to the privacy of the individual. Our

invention provides a method and means that only authorized personnel can retrieve and decipher

the images and attendant data.

This invention is directly related to the United States Homeland Security initiatives

relating to counter-terrorism inventions as defined in 18 U.S.C. 2331, as well as law

enforcement and commercial applications.

Statement of Michael Malone

ADDITIONAL INFORMATION

On June 1, 2004, Bloomberg News announced the Department of Homeland Security

awarded a 10 year contract worth as much as \$10 billion to a group led by Accenture Ltd. to

develop a system to help track visitors to the United States. It will help implement a security

program to collect and share data on foreigners entering the United States as part of the U.S. -

Visit program to protect against terrorism, the department said.

According to sources, this security program will be designed to protect against terrorism

by incorporating a person's photograph, fingerprints and other information contained in his or

her visa and passport and then wirelessly transmit the information to a secure data repository for

digital archiving.

As the Homeland Security rolls out their initiatives for border patrol, personnel clearing

United Sates Customs and tracking personnel entering and leaving the United States, security

within airports, trains or other public security or other forensic applications, the submitted patent

and invention addresses and invents many of these requirements.

By definitively being able to identify the source, exact time, place and date of the original

captured image; by securely transmitting and storing said images and attendant data, and by

assuring that only authorized personnel can access and decipher the images and data and that the

original images and data have not been tampered with our invention clearly has numerous

beneficial uses. Given the foregoing, Applicants respectfully request that our application be

granted Special Status for Examiner's review and Office Action.

Statement of Michael Malone

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Respectfully submitted.

Michael Malone

Statement of Michael Malone Serial No.: 10/674,910

Page - 4 -



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INFORMATION DISCLOSURE STATEMENT

In accordance with the requirements of 37 C.F.R. §§ 1.56, 1.97, and 1.98, attached please find a Form PTO SB/08 listing information for consideration by the Office in connection with its examination of the above-captioned patent application. A copy of the non-patent literature document is enclosed herewith.

Applicants request that this information disclosure statement be considered and that a copy of the Form PTO SB/08 be returned to the undersigned indicating the consideration of each document listed.

REMARKS

Applicants submit that no representation is made, and no representation is intended, that more relevant material does not exist, or that the order of presentation of these materials in any way

reflects their relevant pertinence. The listing on the attached Form PTO SB/08 is not intended to constitute an admission of any kind. Specifically, this presentation is not an admission that any of the items listed are properly citable against the above-identified application as prior art. Applicants respectfully submit that their invention is patentable over the documents listed on Form PTO SB/08.

To Applicant's knowledge, this information disclosure statement is being filed before the mailing date of a first Office Action on the merits. Therefore, pursuant to 37 C.F.R. §1.97(b)(3), no fee is believed necessary for its consideration. Please charge any necessary fees or deficiencies in fees necessary for the filing of this paper or credit any overpayment to Deposit Account No. 20-0780/MPOR-26,491 of HOWISON & ARNOTT, L.L.P.

Respectfully submitted

HOWJSON & ARNOTT, I.L.P

Attorbeys for Applicants

Gregory M. Howison Registration No. 30,646

GMH/yoc

P.O. Box 741715 Dallas, Texas 75374-1715 Tel. (972) 479-0462 Fax. (972) 479-0464 June 29, 2004

PTO/SB/08A (08-00)
Approved for use through 10/31/2002. OMB 0651-0031
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of 2

Complete if Known					
Application Number	10/674,910				
Filing Date	September 29, 2003				
First Named Inventor	Michael F. Malone et al.				
Group Art Unit	To Be Assigned				
Examiner Name	To Be Assigned				
Attorney Docket Number	MPOR-26,491				

			U.S. PATENT DOCU	MENTS	
Examiner Initials	Cite No.1	U.S. Patent Docume Kind Co Number (if know	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
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^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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Sheet 2 of 2

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				U.S. PATENT DOCU	MENTS	
Examiner Initials*	Cite No.1	U.S. Patent Docum Kind (Number (if kno	Code ²	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
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		Application Number	10/674,910	
	INFORMATION DISCLOSURE	Filing Date	September 29, 2003	
	STATEMENT BY APPLICANT	First Named Inventor	Michael F. Malone et al.	
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Attorney Docket Number

To Be Assigned

MPOR-26,491

		Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the	
Examiner nitials*	Cite No.1	item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
•	1	H. Krawczyk, RFC 2104 (RFC2104) RFC 2104 - HMAC: Keyed-Hashing for Message Authentication http://www.faqs.org/rfcs/rfc2104.htm February 1997,	
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RFC 2104 (RFC2104)

Internet RFC/STD/FYI/BCP Archives

[RFC Index | RFC Search | Usenet FAQs | Web FAQs | Documents | Cities]

Alternate Formats: rfc2104.txt | rfc2104.txt.pdf

Comment on RFC 2104

RFC 2104 - HMAC: Keyed-Hashing for Message Authentication

Network Working Group Request for Comments: 2104 Category: Informational H. Krawczyk IBM M. Bellare UCSD R. Canetti IBM February 1997

HMAC: Keyed-Hashing for Message Authentication

Status of This Memo

This memo provides information for the Internet community. This memo

does not specify an Internet standard of any kind. Distribution of this memo is unlimited.

Abstract

This document describes HMAC, a mechanism for message authentication using cryptographic hash functions. HMAC can be used with any iterative cryptographic hash function, e.g., MD5, SHA-1, in combination with a secret shared key. The cryptographic strength of HMAC depends on the properties of the underlying hash function.

1. Introduction

Providing a way to check the integrity of information transmitted over or stored in an unreliable medium is a prime necessity in the world of open computing and communications. Mechanisms that provide such integrity check based on a secret key are usually called "message authentication codes" (MAC). Typically, message authentication codes are used between two parties that share a secret

key in order to validate information transmitted between these parties. In this document we present such a MAC mechanism based on cryptographic hash functions. This mechanism, called HMAC, is based on work by the authors [BCK1] where the construction is presented and

cryptographically analyzed. We refer to that work for the details on the rationale and security analysis of HMAC, and its comparison to other keyed-hash methods.

HMAC can be used in combination with any iterated cryptographic hash function. MD5 and SHA-1 are examples of such hash functions. HMAC also uses a secret key for calculation and verification of the message authentication values. The main goals behind this construction are

- * To use, without modifications, available hash functions. In particular, hash functions that perform well in software, and for which code is freely and widely available.
- * To preserve the original performance of the hash function without incurring a significant degradation.
- * To use and handle keys in a simple way.
- * To have a well understood cryptographic analysis of the strength of the authentication mechanism based on reasonable assumptions on the underlying hash function.
- * To allow for easy replaceability of the underlying hash function in case that faster or more secure hash functions are found or required.

This document specifies HMAC using a generic cryptographic hash function (denoted by H). Specific instantiations of HMAC need to define a particular hash function. Current candidates for such hash functions include SHA-1 [SHA], MD5 [MD5], RIPEMD-128/160 [RIPEMD]. These different realizations of HMAC will be denoted by HMAC-SHA1, HMAC-MD5, HMAC-RIPEMD, etc.

Note: To the date of writing of this document MD5 and SHA-1 are the most widely used cryptographic hash functions. MD5 has been recently shown to be vulnerable to collision search attacks [Dobb]. This attack and other currently known weaknesses of MD5 do not compromise the use of MD5 within HMAC as specified in this document (see [Dobb]); however, SHA-1 appears to be a cryptographically stronger function. To this date, MD5 can be considered for use in HMAC for applications where the superior performance of MD5 is critical. In any case, implementers and users need to be aware of possible cryptanalytic developments regarding any of these cryptographic hash functions, and the eventual need to replace the underlying hash function. (See section 6 for more information on the security of HMAC.)

2. Definition of HMAC

The definition of HMAC requires a cryptographic hash function, which we denote by H, and a secret key K. We assume H to be a cryptographic

hash function where data is hashed by iterating a basic compression function on blocks of data. We denote by B the byte-length of such blocks (B=64 for all the above mentioned examples of hash functions),

and by L the byte-length of hash outputs (L=16 for MD5, L=20 for SHA-1). The authentication key K can be of any length up to B, the block length of the hash function. Applications that use keys onger

than B bytes will first hash the key using H and then use the resultant L byte string as the actual key to HMAC. In any case the minimal recommended length for K is L bytes (as the hash output length). See section 3 for more information on keys.

We define two fixed and different strings ipad and opad as follows (the 'i' and 'o' are mnemonics for inner and outer):

ipad = the byte 0x36 repeated B times opad = the byte 0x5C repeated B times.

To compute HMAC over the data `text' we perform

H(K XOR opad, H(K XOR ipad, text))

Namely,

- (1) append zeros to the end of K to create a B byte string (e.g., if K is of length 20 bytes and B=64, then K will be appended with 44 zero bytes 0x00)
- (2) XOR (bitwise exclusive-OR) the B byte string computed in step (1) with ipad
- (3) append the stream of data 'text' to the B byte string resulting from step (2)
- (4) apply H to the stream generated in step (3)
- (5) XOR (bitwise exclusive-OR) the B byte string computed in step (1) with opad
- (6) append the H result from step (4) to the B byte string resulting from step (5)
- (7) apply H to the stream generated in step (6) and output the result

For illustration purposes, sample code based on MD5 is provided as an appendix.

3. Keys

The key for HMAC can be of any length (keys longer than B bytes are first hashed using H). However, less than L bytes is strongly discouraged as it would decrease the security strength of the function. Keys longer than L bytes are acceptable but the extra length would not significantly increase the function strength. (A longer key may be advisable if the randomness of the key is considered weak.)

Keys need to be chosen at random (or using a cryptographically strong

pseudo-random generator seeded with a random seed), and periodically refreshed. (Current attacks do not indicate a specific recommended frequency for key changes as these attacks are practically infeasible. However, periodic key refreshment is a fundamental security practice that helps against potential weaknesses of the function and keys, and limits the damage of an exposed key.)

4. Implementation Note

 $\ensuremath{\mathsf{HMAC}}$ is defined in such a way that the underlying hash function H $\ensuremath{\mathsf{can}}$

be used with no modification to its code. In particular, it uses the function H with the pre-defined initial value IV (a fixed value specified by each iterative hash function to initialize its compression function). However, if desired, a performance improvement can be achieved at the cost of (possibly) modifying the code of H to support variable IVs.

The idea is that the intermediate results of the compression function

on the B-byte blocks (K XOR ipad) and (K XOR opad) can be precomputed

only once at the time of generation of the key K, or before its first

use. These intermediate results are stored and then used to initialize the IV of H each time that a message needs to be authenticated. This method saves, for each authenticated message, the application of the compression function of H on two B-byte blocks

(i.e., on (K XOR ipad) and (K XOR opad)). Such a savings may be significant when authenticating short streams of data. We stress that the stored intermediate values need to be treated and protected the same as secret keys.

Choosing to implement HMAC in the above way is a decision of the local implementation and has no effect on inter-operability.

5. Truncated output

A well-known practice with message authentication codes is to truncate the output of the MAC and output only part of the bits (e.g., [MM, ANSI]). Preneel and van Oorschot [PV] show some analytical advantages of truncating the output of hash-based MAC functions. The results in this area are not absolute as for the overall security advantages of truncation. It has advantages (less information on the hash result available to an attacker) and disadvantages (less bits to predict for the attacker). Applications of HMAC can choose to truncate the output of HMAC by outputting the

leftmost bits of the HMAC computation for some parameter t (namely, the computation is carried in the normal way as defined in section 2 above but the end result is truncated to t bits). We recommend that the output length t be not less than half the length of the hash

output (to match the birthday attack bound) and not less than $80\,$ bits

(a suitable lower bound on the number of bits that need to be predicted by an attacker). We propose denoting a realization of \mbox{HMAC}

that uses a hash function H with t bits of output as HMAC-H-t. For example, HMAC-SHA1-80 denotes HMAC computed using the SHA-1 function and with the output truncated to 80 bits. (If the parameter t is

specified, e.g. ${\tt HMAC-MD5}$, then it is assumed that all the bits of the

hash are output.)

6. Security

The security of the message authentication mechanism presented here depends on cryptographic properties of the hash function H: the resistance to collision finding (limited to the case where the initial value is secret and random, and where the output of the function is not explicitly available to the attacker), and the message authentication property of the compression function of H when

applied to single blocks (in HMAC these blocks are partially unknown to an attacker as they contain the result of the inner H computation and, in particular, cannot be fully chosen by the attacker).

These properties, and actually stronger ones, are commonly assumed for hash functions of the kind used with HMAC. In particular, a hash function for which the above properties do not hold would become unsuitable for most (probably, all) cryptographic applications, including alternative message authentication schemes based on such functions. (For a complete analysis and rationale of the HMAC function the reader is referred to [BCK1].)

Given the limited confidence gained so far as for the cryptographic strength of candidate hash functions, it is important to observe the following two properties of the HMAC construction and its secure use for message authentication:

- 1. The construction is independent of the details of the particular hash function H in use and then the latter can be replaced by any other secure (iterative) cryptographic hash function.
- 2. Message authentication, as opposed to encryption, has a "transient" effect. A published breaking of a message authentication scheme would lead to the replacement of that scheme, but would have no adversarial effect on information authenticated in the past. This

is in sharp contrast with encryption, where information encrypted today may suffer from exposure in the future if, and when, the encryption algorithm is broken.

The strongest attack known against HMAC is based on the frequency of collisions for the hash function H ("birthday attack") [PV,BCK2],

is totally impractical for minimally reasonable hash functions.

As an example, if we consider a hash function like MD5 where the output length equals L=16 bytes (128 bits) the attacker needs to acquire the correct message authentication tags computed (with the _same_ secret key K!) on about 2**64 known plaintexts. This would require the processing of at least 2**64 blocks under H, an impossible task in any realistic scenario (for a block length of 64 bytes this would take 250,000 years in a continuous 1Gbps link, and without changing the secret key K during all this time). This

could become realistic only if serious flaws in the collision behavior of the function H are discovered (e.g. collisions found after $2^{**}30$ messages). Such a discovery would determine the immediate

replacement of the function H (the effects of such failure would be far more severe for the traditional uses of H in the context of digital signatures, public key certificates, etc.).

Note: this attack needs to be strongly contrasted with regular collision attacks on cryptographic hash functions where no secret key

is involved and where 2**64 off-line parallelizable (!) operations suffice to find collisions. The latter attack is approaching feasibility [VW] while the birthday attack on HMAC is totally impractical. (In the above examples, if one uses a hash function with, say, 160 bit of output then 2**64 should be replaced by 2**80.)

A correct implementation of the above construction, the choice of random (or cryptographically pseudorandom) keys, a secure key exchange mechanism, frequent key refreshments, and good secrecy protection of keys are all essential ingredients for the security of the integrity verification mechanism provided by HMAC.

Appendix -- Sample Code

For the sake of illustration we provide the following sample code for $% \left(1\right) =\left(1\right) +\left(1\right) =\left(1\right) +\left(1\right) +\left(1\right) =\left(1\right) +\left(1$

the implementation of HMAC-MD5 as well as some corresponding test vectors (the code is based on MD5 code as described in [MD5]).

```
** Function: hmac md5
void
hmac md5(text, text len, key, key len, digest)
unsigned char* text;
                                   /* pointer to data stream */
                                    /* length of data stream */
               text len;
                                   /* pointer to authentication key
unsigned char* key;
*/
                                   /* length of authentication key */
int
               key len;
                                   /* caller digest to be filled in
caddr t
               digest;
*/
{
       MD5 CTX context;
       unsigned char k_ipad[65]; /* inner padding -
```

```
* key XORd with ipad
                              */
unsigned char k opad[65];
                             /* outer padding -
                              * key XORd with opad
unsigned char tk[16];
int i;
/* if key is longer than 64 bytes reset it to key=MD5(key) */
if (key_len > 64) {
        MD5 CTX
                     tctx;
        MD5Init(&tctx);
        MD5Update(&tctx, key, key_len);
        MD5Final(tk, &tctx);
        key = tk;
        key len = 16;
}
 * the HMAC MD5 transform looks like:
 * MD5(K XOR opad, MD5(K XOR ipad, text))
 * where K is an n byte key
 * ipad is the byte 0x36 repeated 64 times
 * opad is the byte 0x5c repeated 64 times
 * and text is the data being protected
/* start out by storing key in pads */
bzero( k_ipad, sizeof k_ipad);
bzero( k_opad, sizeof k_opad);
bcopy( key, k ipad, key len);
bcopy( key, k_opad, key_len);
/* XOR key with ipad and opad values */
for (i=0; i<64; i++) {
        k_{ipad[i]} \sim 0x36;
        k opad[i] ^= 0x5c;
 * perform inner MD5
                                     /* init context for 1st
MD5Init(&context);
                                      * pass */
                                     /* start with inner pad */
MD5Update(&context, k_ipad, 64)
MD5Update(&context, text, text len); /* then text of datagram
MD5Final(digest, &context);
                                   /* finish up 1st pass */
 * perform outer MD5
                                     /* init context for 2nd
MD5Init(&context);
                                      * pass */
```

*/

```
MD5Update(&context, k_opad, 64); /* start with outer pad */ MD5Update(&context, digest, 16); /* then results of 1st
                                               * hash */
                                               /* finish up 2nd pass */
        MD5Final(digest, &context);
}
Test Vectors (Trailing '\0' of a character string not included in
                0x0b0b0b0b0b0b0b0b0b0b0b0b0b0b0b0b
  key =
  key len =
                16 bytes
  data =
                "Hi There"
  data len =
                8 bytes
  digest =
                0x9294727a3638bb1c13f48ef8158bfc9d
                "Jefe"
  key =
                 "what do ya want for nothing?"
  data =
  data len =
                28 bytes
                0x750c783e6ab0b503eaa86e310a5db738
  digest =
                 AAAAAAAAAAAAAAAAAAAAAAAAAAAAAA
  key =
  key_len
                16 bytes
                 0xDDDDDDDDDDDDDDDDDD...
  data =
                 ..DDDDDDDDDDDDDDDDDD...
                 ..DDDDDDDDDDDDDDDDDD...
                 ..DDDDDDDDDDDDDDDDDDD...
                 ..DDDDDDDDDDDDDDDDDD
  data len =
                 50 bytes
                0x56be34521d144c88dbb8c733f0e8b3f6
  digest =
```

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Pau-Chen Cheng, Jeff Kraemer, and Michael Oehler, have provided useful comments on early drafts, and ran the first interoperability tests of this specification. Jeff and Pau-Chen kindly provided the sample code and test vectors that appear in the appendix. Burt Kaliski, Bart Preneel, Matt Robshaw, Adi Shamir, and Paul van Oorschot have provided useful comments and suggestions during the investigation of the HMAC construction.

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